

State of Texas
Records Retention Schedule

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2. AGENCY CODE: 537

3. AGENCY: TEXAS DEPARTMENT OF STATE HEALTH SERVICES

4. Records

Series Item # 5. Agency
Item #

7. RETENTION PERIOD

Agency Storage Total 8. Archival 9. Remarks

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10. 106 No.

503 - IMMUNIZATION BRANCH									
	196	PERINATAL HEP B PREVENTION DATABASE	AV		AV		SEPARATE DATABASES ARE MAINTAINED BOTH IN THE REGIONS AND AT CENTRAL OFFICE. (SEE AGENCY ITEM NUMBERS 256 & 286.)		
1.1	178	MONTHLY VACCINE REPORTING FORMS AND VFC FORMS 1		4	5		(INCLUDING MONTHLY REPORTING FORMS C33, VACCINE ORDER FORMS C-68, VACCINES FOR CHILDREN ENROLLMENT & PROFILE FORMS)		05-537-252
1.1	1838	CHILDCARE AND SCHOOL ASSESSMENTS/AUDITS	AC+7		AC+7		AC=PUBLICATION OR RELEASE OF FINAL AUDIT FINDINGS. REGIONS MAINTAIN ALL ORIGINALS..		
1.1	1893	INFORMED CONSENT STATEMENTS PART 1	10		10				
1.1	1910	VACCINE ADVERSE REACTION FILE	AC		AC		Vital Record. AC= 21ST BIRTHDAY OR 10 YRS. AFTER INCIDENT WHICHEVER IS LATER		
1.1	1911	VACCINE RECOMMENDATION BY AGE	US+5		US+5		Vital Record.		
1.1	1929	MONITORING SYSTEM FOR ADVERSE EVENTS FOLLOWING IMMUNIZATION (MSAEFI)	AC		AC		AC= 21ST BIRTHDAY OR 10 YRS. AFTER INCIDENT, WHICHEVER IS LATER		
1.1	1961	INFORMED CONSENT FORMS PART 2	AC		AC		AC= 21ST BIRTHDAY OR 10 YEARS AFTER APPLICATION OF THE VACCINE WHICHEVER IS LATER		
1.1	3309	YELLOW FEVER PROVIDER APPLICATIONS AND RENEWALS	AC+2		AC+2		AC=DATE ON WHICH PROVIDER BECOMES INACTIVE/FAILS TO RENEW.		
1.1	5436	ENCOUNTER FORMS	AC	3	AC+3		Vital Record. AC=AFTER ENCOUNTER INVESTIGATION IS CLOSED.		05-537-202

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Series Item #	5. Agency Item #	6. Records Series Title	Agency	Storage	Total	8. Archival	9. Remarks	10. 106 No.
503 - IMMUNIZATION BRANCH								
1.1	6383	IMM TRAC - IMMUNIZATION RECORDS AND CONSENT (CHILD)	AC+1MO	17Y11M O	AC+18		Vital Record. AC=CLIENT'S DATE OF BIRTH. IF CLIENT WITHDRAWS CONSENT TO BE IN REGISTRY, RECORD WILL BE REMOVED AND DESTROYED WITHIN 10 DAYS OF WITHDRAWAL OF CONSENT, EVEN IF CLIENT HAS NOT REACHED 18 YEARS OF AGE (SEE #6411). RECORDS MAY BE HELD UP TO 1 YEAR AFTER 18TH BIRTHDAY TO ALLOW TIME FOR CLIENT TO SUBMIT CONSENT FOR CONTINUED PARTICIPATION IN REGISTRY. RECORDS HELD FOR THIS 1 YEAR WILL BE BARRED FROM ACCESS BY INDIVIDUALS OUTSIDE OF DSHS.	14-537-577
1.1	6405	IMM TRAC - IMMUNIZATION RECORDS AND CONSENT (ADULT)	AC		AC		Vital Record. AC=WITHDRAWAL OF CONSENT TO BE IN REGISTRY. UPON CLIENT'S DEATH, RECORD IS RECLASSIFIED AS #6406 IMM TRAC - IMMUNIZATION RECORDS (ADULT - DECEASED).	
1.1	6406	IMM TRAC - IMMUNIZATION RECORDS AND CONSENT (ADULT - DECEASED)	AV		AV		Vital Record. UPON CLIENT'S DEATH, RECORD WILL BE BARRED FROM ACCESS BY INDIVIDUALS OUTSIDE OF DSHS. RECORD IS MAINTAINED WHILE IT HAS CONTINUING VALUE TO PROGRAM.	
1.1	6408	IMM TRAC - IMMUNIZATION RECORDS AND CONSENT (CHILD & ADULT - RECORDS OBTAINED AS PART OF AN OFFICIALLY-DECLARED DISASTER/EMERGENCY)	AC		AC		Vital Record. AC=5 YEARS FROM END DATE OF DECLARED DISASTER IF NO DISASTER CONSENT IS ON FILE FOR THE REGISTRY. IF CONSENT IS ON FILE, RECORD IS MAINTAINED UNTIL CONSENT IS WITHDRAWN.	
1.1	6409	IMM TRAC - RELEASE IMMUNIZATION HISTORY	1	5Y11MO	6		RETENTION PERIOD ALIGNS WITH STANDARD RETENTION OF HIPAA-COVERED DISCLOSURE REQUESTS.	14-537-576
1.1	6411	IMM TRAC - WITHDRAWAL OF CONSENT	AC		AC		AC=DATE ON WHICH IMMUNIZATION RECORD IS REMOVED FROM REGISTRY. MUST BE COMPLETED WITHIN 10 DAYS OF RECEIPT OF WITHDRAWAL.	
1.1	6449	IMM TRAC - PROVIDER REGISTRATION	AC+1		AC+1		AC=RECEIPT OF NEW APPLICATION OR DATE OF FAILURE TO RECEIVE A RENEWAL, WHICHEVER COMES FIRST. PROVIDERS MUST RENEW EVERY 2 YEARS.	

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10. 106 No.

503 - IMMUNIZATION BRANCH									
1.1.006	4328	COMPLAINT FILES - DATABASE	AC+2		AC+2			AC=FINAL DISPOSITION OF COMPLAINT	
1.1.008	1840	CORRESPONDENCE, GENERAL (INCLUDES RECORDS REQUESTS, LETTERS OF REQUEST)	2		2			INCLUDES SOME E-MAIL.	
1.1.013	6385	CALENDAR APPOINTMENT AND ITINERARY RECORDS	CE+1		CE+1	R		INCLUDES OUTLOOK CALENDAR. ONLY CALENDARS, APPOINTMENT, AND ITINERARY RECORDS OF EXECUTIVE STAFF, BOARD OR COMMISSION MEMBERS, DIVISION DIRECTORS, AND SECTION / UNIT / BRANCH HEADS REQUIRE ARCHIVAL REVIEW.	
1.1.038	1923	CUSTOMER SURVEYS	AC		AC			AC=FINAL DISPOSITION OF SUMMARY REPORT. (SURVEYS CANNOT BE DESTROYED UNTIL SUMMARY REPORT HAS BEEN SENT TO STATE ARCHIVIST AT THE END OF THE RETENTION PERIOD.) SEE 1.1.067 FOR SUMMARY REPORTS COMPILED FROM CUSTOMER SURVEYS.	
1.1.043	1930	TRAINING MANUALS (TRAINING AIDES)	US+1		US+1				
1.1.057	1407	TRANSITORY INFORMATION	AC		AC			AC=PURPOSE OF RECORD HAS BEEN FULFILLED. INCLUDES TELEPHONE MESSAGE NOTIFICATIONS & SOME E-MAIL CONTAINING ROUTINE INFORMATION USED FOR COMMUNICATION, BUT NOT FOR THE DOCUMENTATION OF A SPECIFIC AGENCY TRANSACTION.	
1.1.064	458	PERFORMANCE MEASURES SUPPORTING DOCUMENTATION	FE+3		FE+3			Vital Record. DOCUMENTATION OF OUTPUT, OUTCOME, EFFICIENCY AND EXPLANATORY MEASURES IN AGENCY'S APPROPRIATIONS REQUEST OR STRATEGIC PLAN & PERFORMANCE MEASURES TO MANAGE AGENCY.	
1.1.065	1855	SPECIAL PROJECTS	1	9	10			SINCE THE STUDIES ARE STILL BEING PUBLISHED, THE DATA AS A WHOLE MUST BE INTACT. VARICELLA, HEPATITIS B PROJECTS.	
1.1.065	1922	REPORTS & STUDIES (RAW DATA)	AV		AV				

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1.1.067	1414	IMMTRAC EXECUTIVE STATUS REPORTS	3	3	R IF REPORT HAS HISTORICAL RELEVANCE, DO NOT DESTROY REPORT BUT SEND IT TO THE STATE ARCHIVIST AT THE END OF THE RETENTION PERIOD.
1.1.067	1920	REPORTS & STUDIES (NON-FISCAL)	3	3	R REPORTS TO CDC (CENTER FOR DISEASE CONTROL), ATLANTA, GEORGIA. IF REPORT HAS HISTORICAL RELEVANCE, DO NOT DESTROY REPORT BUT SEND IT TO THE STATE ARCHIVIST AT THE END OF THE RETENTION PERIOD.
1.1.067	1959	ADMINISTRATIVE REPORTS & INVESTIGATIONS (VACCINE)	AC	AC	R Vital Record. REPORTS ARE MAINTAINED TO STUDY LIFE CYCLE OF VIRUS; AC=UNTIL PATIENT REACHES 21 YEARS OF AGE, OR 10 YEARS, WHICH EVER IS LONGER. IF REPORT HAS HISTORICAL RELEVANCE, DO NOT DESTROY REPORT BUT SEND IT TO THE STATE ARCHIVIST AT THE END OF THE RETENTION PERIOD.
1.1.070	1914	POLICY AND PROCEDURES MANUAL- FINAL	AC+5	AC+5	R Vital Record. AC=COMPLETION OR TERMINATION OF PROGRAM, RULES, POLICIES OR PROCEDURES. VFC OPERATIONS MANUAL; ImmTrac PROCEDURE MANUAL
1.2.003	1966	FORMS HISTORY FILE	AC+1	AC+1	AC=DISCONTINUANCE OF USE OF FORM
1.2.004	1967	FORMS INVENTORY	US	US	
1.3.001	2961	PUBLICATIONS - TDH/DSHS RECORD COPY	US+10	US+10	FOR NEW PUBLICATIONS PRINTED AT HHS PRINTING, HHS PRINTING SENDS COPIES TO STATE PUBLICATIONS CLEARINGHOUSE/DSHS LIBRARY. FOR NEW PUBLICATIONS PRINTED ELSEWHERE, SEND COPIES TO HHS PRINTING FOR DISTRIBUTION TO CLEARINGHOUSE /L IBRARY; PUBLICATIONS DEALING WITH IMMUNIZATION PROCEDURES MUST BE RETAINED FOR 10 YEARS AFTER THEY ARE SUPERSEDED.
2.2.016	5986	SOFTWARE REGISTRATIONS, WARRANTIES, AND LICENSE AGREEMENTS	LA+3	LA+3	Vital Record.

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503 - IMMUNIZATION BRANCH									
3.1	4440	EMPLOYEE IMMUNIZATION RECORDS	2	8	10				05-537-354
3.1	6707	POSITIVE PERFORMANCE RECORDS (MAINTAINED BY SUPERVISORS)	AC		AC			AC=FIRST LEVEL REMINDER IS 3 MONTHS; SECOND LEVEL REMINDER IS 6 MONTHS WITH A COPY TO EMPLOYEE'S MASTER EMPLOYEE FILE; THIRD LEVEL REMINDER IS 12 MONTHS WITH A COPY TO EMPLOYEE'S MASTER EMPLOYEE FILE. BEGINNING AUGUST 2005 SUPERVISORS USE Employee Development Notes IN CAPPs TO DOCUMENT SECOND AND THIRD LEVEL REMINDERS, BUT A PAPER COPY IS STILL FORWARDED TO HHSC HR FOR EMPLOYEE'S MASTER PERSONNEL FILE.	
3.1.006	6384	EMPLOYEE COUNSELING RECORDS	AC+3		AC+3			AC=TERMINATION OF COUNSELING. KEEP THIS RECORD SEPARATE FROM PERFORMANCE APPRAISAL.	
3.1.014	1981	INTERVIEW AND EMPLOYMENT SELECTION RECORDS / NOTES (INCLUDES APPLICATIONS FOR EMPLOYMENT-NOT HIRED)	2		2			Vital Record found in CAPPs only. MAY CONTAIN CONFIDENTIAL DATA. Send all records to CAPPs. CAPPs HAS FULLY ASSUMED THIS FUNCTIONALITY AS OF SEPT 2006.	
3.1.019	5098	PEFORMANCE APPRAISALS/JOURNALS	AC+5		AC+5			MAY CONTAIN SOME CONFIDENTIAL INFORMATION SUCH AS MEDICAL INFORMATION, SOCIAL SECURITY NUMBER, OR OTHER DATA PROTECTED BY THE PRIVACY DOCTRINE. AC=TERMINATION OF EMPLOYEE. CAPPs ASSUMED THIS FUNCTIONALITY IN AUGUST 2005. HHS-HR MUST RECEIVE ALL PERFORMANCE APPRAISALS THAT ARE NOT ALREADY IN CAPPs. HHS-OGC REQUESTED LONGER RETENTION PERIOD.	
3.3	1985	TEMPORARY POSITION FUNDING INFORMATION	2		2				
3.3	1986	TRAINING SUPPORT DOCUMENTATION	AC+2		AC+2			AC=COMPLETION OF CLASS.	
4.2.002	1933	COLLECTION FOR THE SALE OF VACCINES	FE+3		FE+3			Vital Record.	
4.2.002	6195	YELLOW FEVER APPLICATION REMITTANCES	FE+3		FE+3				

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4.2.004	7166	ENCUMBRANCE VOUCHERS	FE+4		FE+4		Back-up documentation of Orders, Statements, Change orders, etc. Record copy of actual Voucher in Accounting.	
4.2.005	7167	PURCHASE VOUCHERS	FE+4		FE+4		Back-up documentation for Requisitions, Orders, Receiving Reports, Invoices or Statements, Change Orders, Best Value Determination, etc. Record copy of actual Voucher is in Accounting.	
4.2.007	7168	EXPENDITURE VOUCHER	FE+4		FE+4		Back-up documentation for Travel, etc. Record copy of actual Voucher is in Accounting.	
4.5	1412	BIENNIAL OPERATING REPORT ON AUTOMATION EXPENDITURES	FE+3		FE+3			
4.7	1934	REPLACEMENT OF VACCINE	FE+3		FE+3			
4.7	1936	PRIVATE PHYSICIANS WITH STOCK OF VACCINE SUPPLIED BY STATE	FE+3		FE+3			
4.7	6169	CLAIMS FILES (MEDICAID)	1 MO	6Y11MO	7		Vital Record. RETENTION BASED ON HIPAA REQUIREMENTS FOR MEDICARE-45 CFR 164.530 (J)(1)-(2).	06-537-528
4.7.008	3676	FEDERAL GRANT INFORMATION ON FILE	AC+3		AC+3		Vital Record. AC=SATISFACTION OF ALL UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS AND COOPERATIVE AGREEMENTS TO STATE AND LOCAL GOVERNMENTS	
5.1.001	1409	CONTRACTS	AC+1	3	AC+4		Vital Record. AC=EXPIRATION OR TERMINATION OF THE INSTRUMENT ACCORDING TO ITS TERMS. INCLUDES IMMTRAC SUPPORT AGREEMENTS; LEASES; IMMTRAC OUTREACH TRACKING FORMS.	(120)05-537-074; (500)10-537-555; (599)05-537-307; (550)10-537-554; (642)05-537-498; 05-537-383; 05-537-483
5.1.004	2007	OUTLOOK DISTRIBUTION LIST	US		US			

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5.1.005	2008	POSTAGE EXPENSE REPORTS	FE+3		FE+3				
5.1.007	5421	REQUISITION FOR IN-AGENCY /INTER-AGENCY COPY/PRINTING SERVICE	AV		AV				
5.3.007	3704	REQUESTS FOR PROPOSALS	FE+3		FE+3			IF A FORMAL WRITTEN CONTRACT OR GRANT IS THE RESULT OF A SUCCESSFUL REQUEST FOR PROPOSAL, THE SUCCESSFUL RFP AND ITS SUPPORTING DOCUMENTATION MUST BE RETAINED FOR THE SAME PERIOD AS THE CONTRACT. (SEE #3676)	

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